

**Notice of References Cited**

Application/Control No.

09/917,447

Applicant(s)/Patent Under  
Reexamination  
FERGUSON ET AL.

Examiner

Romain Jeanty

Art Unit

3623

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**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2002/0032640	03-2002	LaFore et al.	705/37
*	B	US-2002/0026404	02-2002	Thompson, George W.	705/37
	C	US-			
	D	US-			
	E	US-			
	F	US-			
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	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

**FOREIGN PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
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	T					

**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Rose et al (How can CPAs can help spot when client investments are being mishandled), 10/1996, Journal of Accountancy, Pages 63-67
	V	Dialog (Penny Stock Disclosure Rules), 4/1992, Security and Exchange Commission, Dialog file 180, Accession No. 02251552, Pages 1-112
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.